

Transportation Compliance Evaluation/Assistance Program

4. Transportation Management Operations

Revision 1, July 2000

Standard: All Transportation Management Operations are conducted in a consistent and accountable manner, following approved procedures, in compliance with all requirements of applicable international, federal, state, tribal, and local laws, rules, and regulations and DOE Orders and policy.

References: 41 CFR 109-40, 48 CFR Part 47, 49 CFR Parts 100-180 and 390-397, DOE Orders, Implementation Guides and CRD's 460.1A, and 460.2, and DOE Order 5632.1C-1, Chapter IV

Self-Assessment/Evaluation Actions	RESPONSE			Comment
	Y	N	N/A	
A. GENERAL QUESTION SECTION				
1. Do the following DOE Orders apply to your contract:				
a. DOE Order 460.1A, Packaging and Transportation Safety?				
b. DOE Order 460.2, Departmental Materials Transportation and Packaging Management?				
c. DOE Order 5632.1C-1, Manual for Protection and Control of Safeguards and Security Interests?				
If you answered "Yes" to any of the questions above, please complete the appropriate questions in the sections below.				
B. SHIPMENT PROCEDURES - OUTBOUND PREPARATION				
1. Are all shipments of DOE materials properly prepared indicating:				
a. Proper material identification/classification (NMFC)?				
b. Package identification and number of packages?				
c. Consignee name and address and?				
d. Special information (i.e. handling requirements, priority, urgency)?				

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	Y	N	N/A	
2. For freight payment purposes, are proper classification of DOE materials for each shipment described on the bill of lading, waste manifest, or other shipping documents as specified in the governing freight classification, carrier's tariff, or rate tender? [DOE G 460.2 Section 3.1.2(c) and 41 CFR 109-40.5005]				
3. Are carriers (highway, rail, or water) being selected based on requirements to provide safe, expeditious and economical transportation to destination? [DOE G 460.2 Section 3.1.3, and 41 CFR 109-40.103-17]				
4. Are motor carriers who have been evaluated by the Department's "Motor Carrier Evaluation Program" (MCEP) with a subsequent satisfactory rating only being considered for selection to transport HRCQ, truckload quantities of radioactive materials, and hazardous waste in any quantity? [DOE G 460.2 Section 3.1.3]				
5. Does the contractor have a process in place for consolidation of shipments for the purposes of transportation and administrative economies? [DOE G 460.2 Section 3.1.4]				
6. Does the contractor have a written policy addressing the Government's self-insurance policy? [48 CFR 47.102]				
7. Are shipments properly loaded, blocked, braced, and secured according to DOT and DOE requirements? [49 CFR 177.834 and 396.100-106]				
8. Are shipping papers annotated with "shipper load and count" when rates are predicated on such statements? [DOE G 460.2 Section 3.1.9]				
9. Are procedures in place to preclude unnecessary detention and demurrage charges by carriers loading or unloading at your site? [DOE G 460.2 Section 3.1.10]				

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	Y	N	N/A	
10. Is a system in place to ensure that on all commercial bills of lading, air bills, and other commercial documents covering shipments made by or to the contractor on DOE's behalf provide for consignment of the shipments to, or from, the: a. United States Department of Energy "in care of" (contractor) or, b. Contractor "for the United States Department of Energy" [41 CFR 109-40.306-2, 109-40.5005, DOE G 460.2 Section 4(c)]?				
11. Is a system in place to meet requirements of DOE Implementation Guide 460.2, Section 6.1(a), for records retention of each shipment of hazardous materials, hazardous substances, or hazardous waste manifests per applicable law, regulation, or permit?				
12. Does the contractor utilize the Transportation Tracking and Communications (TRANSCOM) system for the following categories of shipments:				
a. Spent nuclear fuel (DOE Order 5632 1C-1, Chapter IV)?				
b. High-level waste?				
c. High-visibility shipments and campaigns as determined by the cognizant DOE POs?				
13. Is there a system in place to notify a shipper, within three days after the scheduled arrival date, of a radioactive shipment not being received? [DOE G 460.2, Section 3.1.7(a)]				
14. Following the above notification, is there a system in place to ensure a receipted registered letter is sent providing the shipper with written notice? [DOE G 460.2, Section 3.1.7.(a)]				
15. Is there a system in place to ensure that the DOE Transportation Manager is notified when shipments are lost or presumed stolen? [DOE G 460.2, Section 3.1.7(b)]				

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16. Is there a system in place to ensure that shipments are routed using the mode of transportation, or individual carriers within the mode, that can provide the required service at the lowest overall delivered cost to the Government? [41 CFR 101-40.302, and 109-40.302]				
C. SHIPMENT PROCEDURES - INBOUND PROCEDURES				
1. Are systems in place to inspect all packages upon receipt for damage, loss, or evidence of possible leakage, and/or breakage of the contents? [DOE G 460.2, Section 3.2.1]				
2. Do you photograph all visible damage of packages upon receipt of delivery? [DOE G 460.2, Section 3.2.1]				
3. Are procedures in place and instruction provided to receiving personnel instructing them to note all visible damage on carrier's delivery receipt prior to signing for goods or hazardous materials? [DOE G 460.2, Section 3.2.1]				
4. Is the carrier notified of all visible damage noted on the delivery receipt by telephone or facsimile the same day? [DOE G 460.2, Section 3.2.1]				
5. Are all goods inspected for concealed damage and the carrier notified within fifteen (15) days of receipt to ensure carrier retains the burden of proof for claim settlements? [DOE G 460.2, Section 3.2.1]				
6. Does the contractor have a policy to stop or detain any transport vehicle which contains a leaking package of regulated material on the site? [DOE G 460.2, Section 3.2.3]				
D. AUTOMATED TRANSPORTATION MANAGEMENT SYSTEMS				
1. Does the contractor, to the maximum extent practicable, utilize the Automated Transportation Management System (ATMS) to perform transportation tasks? [DOE CRD 460.2, Section 4(a)]				
2. Does the contractor provide data on shipping and receiving activities to the Enterprise Transportation Analysis System (formerly SMAC)? DOE G 460.2, Section 4.3 and 4.3.1]				

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3. For the elements that are excepted from ETAS reporting, is an annual transportation report provided with the required criteria outlined in DOE G 460.2, Section 4.3.2?				
E. TRANSPORTATION RATES AND SERVICES				
1. Is a system in place to ensure that only carriers with rates on file with EM-1, NTP-A, or DOE Field Offices, are used for shipments by common carriage? [41 CFR 109-40.304, DOE CRD 460.2, Section 8(b)]				
2. Is a system in place to provide written justification or management approval when other than the low-cost carrier or mode is used? [41 CFR 109-40.103-1, 109-40.302, and 109-40.303-3]				
3. When applicable, is there a system in place when rates or classification ratings vary according to a declared value, do you declare the maximum value applicable for the lowest published rate or rating? [DOE G 460.2, Section 3.1.5]				
4. When applicable, is there a system in place to declare full value on shipments when actual value must be declared (i.e. nonradioactive precious metals)? [DOE G 460.2, Section 10.4]				
5. Is a system in place for the justification of the use of premium transportation? [DOE G 460.2, Section 5.5]				
6. Does the contractor properly document justification for request of exclusive use vehicles to meet shipment or programmatic needs? [DOE G 460.2, Section 5.5]				
7. Is there a system in place to ensure that signed copies of rate tenders are provided to the appropriate parties in the General Services Administration, NTP-A, and other Operations Offices? [41 CFR 109-40.306-3]				
F. ACCIDENT/INCIDENT REPORTING				

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1. Does the contractor have a procedure to include the carrier's written report or other external supporting information when filing your occurrence report? [DOE G 460.2, Section 8.1]				
2. Is a system in place to ensure proper filing and distribution of the hard copy of the external document related to the incident reported? [DOE G 460.2, Section 8.1]				
3. Has the DOE or contractor traffic manager requested a copy of the report when the carrier is required to provide a report, in writing and within 30 days, using DOT form 5800.1, details of each unintentional release of hazardous material from a package? [49 CFR 171.16(a)]				
4. Has the DOE or contractor traffic manager requested a copy of the report when the carrier is required to provide a report, in writing and within 30 days, using DOT form 5800.1, details of each discharge of hazardous waste? [49 CFR Part 171.16(a)]				
G. TRANSPORTATION COMPLIANCE EVALUATION / ASSISTANCE PROGRAM				
1. Does the contractor utilize the checklists produced by TCEAP to perform a self-assessment of your transportation and packaging operations?				
2. If these checklists are utilized as a self-assessment tool, do you conduct root-cause analysis, develop a corrective action plan, identify needed resources, and provide lessons learned to NTP-A?				
H. CARGO SECURITY AND HIGH-VALUE MATERIALS				
1. Is a system in place to ensure the high-value materials not covered under DOE Order 5632.1C, Protection and Control of Safeguards and Security Interests, are shipped in a manner that will provide cargo security commensurate with their value? [DOE G 460.2, Section 10.1]				

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2. Is a system in place to ensure shipments of high-value materials that require protective service can be provided protective service continuously for the shipment until receipt by the consignee? [DOE G 460.2, Section 10.2]				
3. Is a system in place to ensure, that depending on the strategic nature and value of the material being shipped, each bill of lading indicates actions to be taken in event of an emergency? [DOE G 460.2, Section 10.3]				
4. Are shipments of precious metals that are not radioactively contaminated prepared in accordance with requirements of DOE G 460.2, Section 10.4.1?				